

Public Assistance (PA) Pre-event Documentation Checklist

★ is a Best Practice

NOTES:

- All documents must be legible and permanent.
- Off-site backup of records is a risk management Best Practice.
- Records must be maintained for **three (3) years** from the date of the final certification of completion of your last project associated with the specific disaster.
- Banks may not be required to keep their records for more than **four (4) years**. Check with your bank to determine its retention schedule.
- For any Presidentially declared disaster or grants awarded after December 26, 2014 all Subrecipients (Applicants) must follow the requirements stated in 2 CFR §200 and the cost principles articulated therein.

FOR MORE INFORMATION CHECK THESE SOURCES

44 Code of Federal Regulations (CFR) §13.42(b)(1), §13.42(c)(1) and *Public Assistance Guide* – FEMA 322/June 2007, page 138 and 2 CFR §200.333

GENERAL DOCUMENTATION REQUIREMENTS

★	Active Dun & Bradstreet (D&B) Data Universal Numbering System (D-U-N-S) Number registered with System for Award Management (SAM.gov)	<i>Federal Contracts Perspective</i> , December 2012, <i>Federal Acquisition Circular (FAC) 2005-62</i> and <i>Request for Public Assistance (RPA) FEMA form 90-49</i> , August 2010
★	Insurance policies (agreement, conditions, Statement of Loss, Etc.)	44 CFR §206.250 – 253
★	<i>Insurance Commissioner's Certification (ICC)</i> (if applicable)	44 CFR §206.252(d) and §206.253(b)(1)
★	List of facilities (building, equipment, contents, vehicles, etc.) and locations	-
★	Maintenance records of roads, public works, etc.	<i>Public Assistance Guide</i> – FEMA 322/June 2007, page 33

WORK PERFORMED BY FORCE ACCOUNT LABOR (FAL) (your employees)

44 CFR §206.221(b) and §206.228(a)(2)

★	<u>Pre-existing</u> straight time, overtime and personnel policies including job descriptions	<i>Public Assistance Guide</i> – FEMA 322/June 2007, pages 44-45 and RP 9525.7, VII(c)
★	A record-keeping process that logs employee time by task and project	<i>Public Assistance Guide</i> – FEMA 322/June 2007, page 137

WORK PERFORMED USING FORCE ACCOUNT MATERIALS (materials in your inventory) OR PURCHASED FOR THE DISASTER

Public Assistance Policy Digest – FEMA 321/January 2008, page 84

★	Materials and Supplies inventory	<i>Public Assistance Policy Digest</i> – FEMA 321/January 2008, page 84
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Request for Public Assistance (RPA)

Documentation Requirements Checklist

The Request for Public Assistance (RPA) is submitted by the Applicant to the Grantee (GOHSEP) as an official notification of the Applicant's intent to apply for FEMA Public Assistance (PA).

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FOR MORE INFORMATION
CHECK THESE SOURCES

44 Code of Federal Regulations (CFR) §13.42(b)(1), §13.42(c) (1) and *Public Assistance Guide* – FEMA 322/June 2007, page 138 and 2 CFR §200.333

GENERAL DOCUMENTATION REQUIREMENTS

All Applicants:

<input type="checkbox"/>	Completed <i>Request for Public Assistance</i> (RPA) FEMA form 90-49 (form required)	<i>Public Assistance Guide</i> – FEMA 322/June 2007, pages 92 – 93 and <i>Public Assistance Applicant Handbook</i> – FEMA 323/March 2010, page 9
Private nonprofits (PNPs) require the following additional information: (See PNP Brochure)		
<input type="checkbox"/>	<i>PNP Facility Questionnaire</i> FEMA form 90-121 (form required)	FEMA form 90 – 121, February 2009
<input type="checkbox"/>	Federal tax exemption letter from IRS or proof of nonprofit status from the Secretary of State (501[c] [d] or [e])	44 CFR §206.221(f) and <i>Public Assistance Guide</i> – FEMA 322/ June 2007, page 11 and DAP 9521.3 VII(A)(i)
<input type="checkbox"/>	Articles of incorporation, charter or by-laws as applicable	FEMA requirement
<input type="checkbox"/>	Evidence that the organization is in good standing with the Secretary of State	<i>Public Assistance Guide</i> – FEMA 322/June 2007, page 11 and GOHSEP requirement
<input type="checkbox"/>	School accreditation or certification (only if an educational institution)	FEMA requirement
<input type="checkbox"/>	Daycare license (only if a daycare)	FEMA requirement
<input type="checkbox"/>	Insurance policy in force at time of event	44 CFR §206.250–252(d)
<input type="checkbox"/>	Proof of legal responsibility for facility (e.g., lease, proof of ownership)	44 CFR §206.223(a)(3) and <i>Public Assistance Guide</i> – FEMA 322/June 2007, page 23

PUBLIC ASSISTANCE (PA): REQUEST FOR PUBLIC ASSISTANCE (RPA)

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Public Assistance (PA) Project Formulation

Documentation Requirements Checklist

★ is a Best Practice. Be prepared to have this information at Closeout.

Project formulation is the process of documenting the damage to a facility, identifying eligible Scope of Work (SOW) and estimating costs associated with that SOW for each Applicant project.

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FOR MORE INFORMATION CHECK THESE SOURCES

44 Code of Federal Regulations (CFR) §13.42(b)(1), §13.42(c) (1) and *Public Assistance Guide* – FEMA 322/June 2007, page 138 and 2 CFR §200.333

GENERAL DOCUMENTATION REQUIREMENTS

<input type="checkbox"/>	List of damages	44 CFR §206.202(d)
<input type="checkbox"/>	Proof of legal responsibility for facility (e.g., lease, proof of ownership)	44 CFR §206.223(a)(3) and <i>Public Assistance Guide</i> – FEMA 322/June 2007, page 23
<input type="checkbox"/>	Insurance policy in force at time of event	44 CFR §206.250-.253
<input type="checkbox"/>	Insurance settlement documents (copy of settlement check and litigation documents, if any)	44 CFR §206.191, <i>Public Assistance Guide</i> – FEMA 322/June 2007, pages 41 – 42 and <i>Disaster Assistance Policy (DAP)</i> 9525.3
<input type="checkbox"/>	<i>Insurance Commissioner's Certification</i> (ICC) (waiver, if applicable)	44 CFR §252(d) and §253(b)(1)
<input type="checkbox"/>	Maintenance records of public works systems	<i>Public Assistance Guide</i> – FEMA 322/June 2007, page 33
★	Post-disaster photos (damage to facilities and debris operations [e.g., leaners and hangers])	–

WORK PERFORMED BY FORCE ACCOUNT LABOR (FAL) (your employees)

<input type="checkbox"/>	<i>Force Account Labor Record</i> FEMA form 90-123 or equivalent (FEMA form preferred)	44 CFR §206.221(b) and §206.228(a)(2) FEMA form 90 – 123, October 2012
<input type="checkbox"/>	Pre-existing overtime policy	<i>Public Assistance Guide</i> – FEMA 322/June 2007, pages 44-45 and RP 9525.7, VII(c)
★	Timekeeping documentation (for all work other than Direct Administrative Cost (DAC)) that supports the <i>Force Account Labor Record</i> form	44 CFR §13.20(b)(6) and 2 CFR §200.302(b)(3)
★	Timesheets that log employee time on eligible DAC tasks by Project Worksheet (PW)	DAP 9525.9
★	Payroll records and/or check register	44 CFR §13.20(b)(6) and 2 CFR §200.302(b)(3)

★	Fringe benefit breakdown (<i>Applicant's Benefits Calculation Worksheet</i> FEMA form 90-128) (FEMA form preferred)	<i>Public Assistance Guide – FEMA 322/June 2007, pages 45 – 47</i>
WORK PERFORMED USING FORCE ACCOUNT EQUIPMENT (FAE) (your equipment)		
<input type="checkbox"/>	Force Account Equipment Record FEMA form 90-127 or equivalent (FEMA form preferred)	FEMA form 90-127, October 2012 and 44 CFR §13.32 and 2 CFR §200.302(a)
<input type="checkbox"/>	Proof of equipment ownership	44 CFR §13.20(b)(6), §13.32, 2 CFR §200.302(b)(3)
<input type="checkbox"/>	Proof of equipment usage	44 CFR §13.20(b)(6), <i>Public Assistance Guide – FEMA 322/June 2007, pages 48-50,</i> 2 CFR §200.302(b)(3)
WORK PERFORMED USING FORCE ACCOUNT MATERIALS (materials in your inventory) OR PURCHASED FOR THE DISASTER		
<input type="checkbox"/>	Force Account Materials Summary Record FEMA form 90-124 or equivalent (FEMA form preferred)	FEMA form 90-124, October 2012
<input type="checkbox"/>	Invoices/receipts for restocking inventory and evidence of proper procurement	44 CFR §13.20(b)(6), 2 CFR §200.302(b)(3) and §200.317 – .326
<input type="checkbox"/>	Sign-in sheets for meals	44 CFR §13.20(b)(6)
<input type="checkbox"/>	Materials and supplies inventory record	<i>Public Assistance Guide – FEMA 322/June 2007, page 48</i>
RENTED EQUIPMENT		
<input type="checkbox"/>	Rented Equipment Record FEMA form 90-125 or equivalent (FEMA form preferred)	<i>Public Assistance Policy Digest – FEMA 321/January 2008, page 49</i> FEMA form 90-125, October 2012
<input type="checkbox"/>	Rental agreement, invoices/receipts and evidence of proper procurement (see Procurement section below)	44 CFR §13.20(b)(6), §13.36, 2 CFR §200.302(b)(3) and §200.317 – .326
WORK PERFORMED BY CONTRACTORS		
<input type="checkbox"/>	Contract Summary Record FEMA form 90-126 or equivalent (FEMA form preferred)	FEMA form 90 – 126, October 2012
<input type="checkbox"/>	Executed contract with all applicable amendments and change orders (if available)	44 CFR §13.20(b)(6), §13.30 and 2 CFR §200.302
★	Contractor and subcontractor timesheets and materials invoices for time and material contracts and Mutual Aid Agreements (MAAs)/MOUs	44 CFR §13.20(b)(6), FEMA 322, 50-51, 53, 2 CFR §200.302(b)(3)
★	Contractor time sheets (for DAC reimbursement) that log employee time by eligible DAC tasks by PW	DAP 9525.9

DEBRIS OPERATIONS		<i>Debris Management Guide – FEMA 325/July 2007 and Debris Monitoring Guide – FEMA 327/ October 2010</i>
<input type="checkbox"/>	Disposal permits	<i>Louisiana Environmental Regulatory Code 301 B</i>
<input type="checkbox"/>	Truck certification (if available)	<i>Debris Monitoring Guide – FEMA 327/October 2010, pages 19-20</i>
<input type="checkbox"/>	Load tickets (if available)	<i>Debris Monitoring Guide – FEMA 327/October 2010, page 19</i>
<input type="checkbox"/>	Monitor Logos	–
PROCUREMENT REQUIREMENTS - Evidence of proper procurement		44 CFR §13.36 and 2 CFR §200.317 – .326
<input type="checkbox"/>	Competitive process (Quote/Request for Proposal [RFP]/Request for Qualifications [RFQ])	44 CFR §13.36(d)(2), §13.36(d)(3), 2 CFR §200.319
<input type="checkbox"/>	Advertisement (publicize)	44 CFR §13.36(d)(3)(i), §200.320(c)(2)(i) and §200.319(d)(1)
<input type="checkbox"/>	Evaluating and selection process for RFP/RFQ	44 CFR §13.36(d)(3)(iii), <i>Recovery Policy (RP) 9580.212</i> and 2 CFR §200.320(d)(3)
<input type="checkbox"/>	Cost analysis (when required)	44 CFR §13.36(f)(1) and 2 CFR §200.323(a)
<input type="checkbox"/>	State Contract (when used, include item description, unit price and state contract number)	GOHSEP requirement
<ul style="list-style-type: none"> Local governments and quasi-governmental agencies – such as port authorities, levee boards, etc. – must follow 44 CFR §13.36 and the cost principles articulated in 2 CFR §225. Private nonprofits (PNPs) are required to follow: <ul style="list-style-type: none"> 44 CFR §13.36 in addition to the <i>Uniform Administrative Requirements for grants and Agreements</i> as per 2 CFR §215. Cost principles articulated in 2 CFR §230. Educational institutions are required to follow 44 CFR §13.36 and 2 CFR §220. All Subrecipients (Applicants) must follow 2 CFR §200.31-.342 and the cost principles articulated in 2 CFR §200.400–.475 for any Presidentially declared disaster after December 26, 2014. 		

Notes

Public Assistance (PA) Grant Reimbursement Documentation Requirements Checklist

★ is a Best Practice. Not required at grant reimbursement; must have this documentation in your project files. Documentation is required for Closeout and Audits.

NOTES:

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FOR MORE INFORMATION CHECK THESE SOURCES

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GENERAL DOCUMENTATION REQUIREMENTS

<input type="checkbox"/>	GOHSEP/Subrecipient Memorandum of Understanding (MOU) (optional for Katrina/Rita Applicants; required for all others)	2014 State of Louisiana Administrative Plan for Public Assistance (V)(B)(3)(b)
<input type="checkbox"/>	Reimbursement Request Form (RRF) for Public Assistance (PA) Funds required to initiate a request to GOHSEP for payment	2014 State of Louisiana Administrative Plan for Public Assistance (V)(E)(5)
<input type="checkbox"/>	Time extension approval letters (if any)	44 CFR §206.204(d)
<input type="checkbox"/>	Evidence of proper procurement (see Procurement section below)	44 CFR §13.36, 2 CFR §200.317 – .326
★	Proof of payment (cancelled checks – banks may not be required to keep records for more than four [4] years)	44 CFR §13.20(b)(6) and 2 CFR §200.302(b)(3)
★	Insurance statement of loss (if available)	Public Assistance Policy Digest - FEMA 321/January 2008, page 38 and Public Assistance Guide - FEMA 322/June 2007, page 41

WORK PERFORMED BY FORCE ACCOUNT LABOR (FAL) (your employees)

<input type="checkbox"/>	Force Account Labor Record FEMA form 90-123 or equivalent (FEMA form preferred)	44 CFR §206.221(b) and §206.228(a)(2) FEMA form 90 – 123, October 2012
<input type="checkbox"/>	Fringe benefit breakdown (Applicant's Benefits Calculation Worksheet FEMA form 90-128) (FEMA form preferred)	Public Assistance Guide – FEMA 322/June 2007, pages 45-47
<input type="checkbox"/>	Pre-existing overtime policy	Public Assistance Guide – FEMA 322/June 2007, pages 44-45 and Recovery Policy (RP) 9525.7, VII(c)
<input type="checkbox"/>	Timesheets that log employee time on eligible Direct Administrative Cost (DAC) tasks by Project Worksheet (PW)	Disaster Assistance Policy (DAP) 9525.9
★	Timekeeping documentation (for all work other than DAC) that supports the Force Account Labor Record form	44 CFR §13.20(b)(6), 2 CFR §200.302(b)(3)

★	Payroll records and/or check register	44 CFR §13.20(b)(6), 2 CFR §200.302(b)(3)
WORK PERFORMED USING FORCE ACCOUNT EQUIPMENT (FAE) <u>(your equipment)</u>		
<input type="checkbox"/>	Force Account Equipment Record FEMA form 90-127 or equivalent (FEMA form preferred)	FEMA form 90-127, October 2012 and 44 CFR §13.32
<input type="checkbox"/>	Proof of equipment usage	44 CFR §13.20(b)(6) and Public Assistance Guide – FEMA 322/June 2007, page 48 and 2 CFR §200.302(b)(3)
★	Proof of equipment ownership	44 CFR §13.20(b)(6), §13.32, 2 CFR §200.302(b)(3)
WORK PERFORMED USING FORCE ACCOUNT MATERIALS <u>(materials in your inventory)</u> OR PURCHASED FOR THE DISASTER		
<input type="checkbox"/>	Force Account Materials Summary Record FEMA form 90-124 or equivalent (FEMA form preferred)	FEMA form 90-124, October 2012
<input type="checkbox"/>	Invoices/receipts for restocking inventory and evidence of proper procurement	44 CFR §13.20(b)(6), §13.36, 2 CFR §200.320(b)(3) and §200.317 – .326
<input type="checkbox"/>	Sign-in sheets for meals	44 CFR §13.20(b)(6) and 2 CFR §200.302(b)(3)
<input type="checkbox"/>	Materials and supplies inventory record	Public Assistance Guide – FEMA 322/June 2007, page 48
RENTED EQUIPMENT		
		Public Assistance Policy Digest – FEMA 321/January 2008, page 49
<input type="checkbox"/>	Rented Equipment Record FEMA form 90-125 or equivalent (FEMA form preferred)	FEMA form 90–125, October 2012
<input type="checkbox"/>	Rental agreement, invoices/receipts and evidence of proper procurement (see Procurement section below)	44 CFR §13.20(b)(6), 2 CFR §200.302(b)(3) and §200.317 – .326
WORK PERFORMED BY CONTRACTORS		
<input type="checkbox"/>	Contract Summary Record FEMA form 90-126 or equivalent (FEMA form preferred)	FEMA form 90–126, October 2012
<input type="checkbox"/>	Invoices, certified pay applications/receipts and evidence of proper procurement (if available)	44 CFR §13.20(b)(6), §13.36 and 2 CFR §200.302(b)(3)
<input type="checkbox"/>	Executed contract with all applicable amendments and change orders	44 CFR §13.30 and 2 CFR §200.302
<input type="checkbox"/>	Contractor time sheets (for DAC reimbursement) that log employee time by eligible DAC tasks by PW	DAP 9525.9
★	Contractor and subcontractor timesheets and materials invoices for time and material contracts and Mutual Aid Agreements (MAAs)/MOUs	44 CFR §13.20(b)(6) FEMA 322, 50-51, 53 and 2 CFR §200.302(b)(3)
★	Load tickets and truck certifications (required for debris contracts)	44 CFR §13.20(b)(6) and Debris Management Guide – FEMA 325/ July 2007, page 109 and 2 CFR §200.302(b)(3)

